

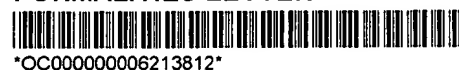
UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
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APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/843,605	04/26/2001	Thomas T. Nguyen	28945-041

CONFIRMATION NO. 7668

FORMALITIES LETTER



OC00000006213812

Proskauer Rose LLP
Patent Department
1585 Broadway
New York, NY 10036

Date Mailed: 06/22/2001

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

07/24/2001 BNGUYEN1 00000034 162500 09843605

FILED UNDER 37 CFR 1.53(b)

01 FC:101 710.00 CH
02 FC:102 80.00 CH
03 FC:103 540.00 CH

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.
Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$620.
 - \$540 for 30 total claims over 20.
 - \$80 for 1 independent claims over 3.
- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 1460.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
 - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

09843605

07/24/2001 BNGUYEN1 00000033 162500

01 FC:105 130.00 CH

A copy of this notice MUST be returned with the reply.

A handwritten signature, possibly reading 'K', is written above a horizontal line.

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE



7-19-01

Section

Please type a plus sign (+) inside this box → ☒PTO/SB/21 (6-98)
Approved for use through 09/30/2000. OMB 0651-0031
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

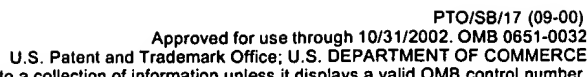
TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i>	Application Number	09/843,605
	Filing Date	April, 26, 2001
	First Named Inventor	Thomas NGUYEN
	Group Art Unit	2661
	Examiner Name	
Total Number of Pages in This Submission	Attorney Docket Number	28945-041

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input checked="" type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input checked="" type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) (___ sheets) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Small Entity Statement <input type="checkbox"/> Request for Refund	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below): Notice to file missing parts Declaration / Power of Attorney Recordation Cover Sheet
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Anthony C. Coles, Attorney, Reg No. 34, 139
Signature	
Date	7/18/01

CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service as Express Mail in an envelope bearing Express Mail No.: EL070215799US on this date: 7/18/01			
Typed or printed name	Juan C. Arias		
Signature		Date	7/18/01

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT	(\$)	1,500
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Complete if Known

Application Number	09/843,605
Filing Date	April, 26, 2001
First Named Inventor	Thomas NGUYEN
Examiner Name	
Group Art Unit	2661
Attorney Docket No.	28945-041

METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

16-2500

Proskauer Rose LLP

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
- ☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ Payment Enclosed:
☐ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

	Large Entity	Small Entity
1. Number of employees	More than 50	50 or fewer
2. Annual sales	More than \$5 million	\$5 million or less
3. Assets	More than \$5 million	\$5 million or less
4. Industry type	Not applicable	Not applicable
5. Financial statement presentation	Required	Optional
6. Audit requirements	Required	Optional
7. Internal controls	Required	Optional
8. Disclosure requirements	Required	Optional
9. Tax treatment	Same	Same
10. Accounting standards	GAAP	GAAP
11. Reporting frequency	Quarterly	Annual
12. Public access to financial statements	Yes	No
13. SEC registration	Required	Optional
14. Sarbanes-Oxley Act compliance	Required	Optional
15. Board composition	Required	Optional
16. Executive compensation disclosure	Required	Optional
17. Risk factor disclosure	Required	Optional
18. Materiality assessment	Required	Optional
19. Whistleblower protection	Required	Optional
20. Environmental, social, and governance (ESG) reporting	Optional	Optional
21. Cybersecurity reporting	Optional	Optional
22. Diversity and inclusion reporting	Optional	Optional
23. Human rights reporting	Optional	Optional
24. Climate change reporting	Optional	Optional
25. Anti-corruption reporting	Optional	Optional
26. Data privacy reporting	Optional	Optional
27. Supply chain management reporting	Optional	Optional
28. Customer satisfaction reporting	Optional	Optional
29. Employee satisfaction reporting	Optional	Optional
30. Innovation and R&D reporting	Optional	Optional
31. Sustainability reporting	Optional	Optional
32. Social responsibility reporting	Optional	Optional
33. Corporate governance reporting	Optional	Optional
34. Transparency reporting	Optional	Optional
35. Stakeholder engagement reporting	Optional	Optional
36. Community involvement reporting	Optional	Optional
37. Philanthropy reporting	Optional	Optional
38. Governance structure reporting	Optional	Optional
39. Board diversity reporting	Optional	Optional
40. Executive compensation policy reporting	Optional	Optional
41. Risk management reporting	Optional	Optional
42. Compliance reporting	Optional	Optional
43. Ethics reporting	Optional	Optional
44. Code of conduct reporting	Optional	Optional
45. Supplier code of conduct reporting	Optional	Optional
46. Environmental impact reporting	Optional	Optional
47. Carbon footprint reporting	Optional	Optional
48. Water usage reporting	Optional	Optional
49. Waste management reporting	Optional	Optional
50. Energy consumption reporting	Optional	Optional
51. Greenhouse gas emissions reporting	Optional	Optional
52. Biodiversity reporting	Optional	Optional
53. Land use reporting	Optional	Optional
54. Forest management reporting	Optional	Optional
55. Wildlife conservation reporting	Optional	Optional
56. Indigenous peoples reporting	Optional	Optional
57. Labor practices reporting	Optional	Optional
58. Human rights due diligence reporting	Optional	Optional
59. Child labor reporting	Optional	Optional
60. Forced labor reporting	Optional	Optional
61. Modern slavery reporting	Optional	Optional
62. Anti-trust reporting	Optional	Optional
63. Competition law reporting	Optional	Optional
64. Consumer protection reporting	Optional	Optional
65. Fair trade reporting	Optional	Optional
66. Organic certification reporting	Optional	Optional
67. Non-GMO reporting	Optional	Optional
68. Gluten-free reporting	Optional	Optional
69. Kosher certification reporting	Optional	Optional
70. Halal certification reporting	Optional	Optional
71. Vegan certification reporting	Optional	Optional
72. Fairtrade certification reporting	Optional	Optional
73. Rainforest Alliance certification reporting	Optional	Optional
74. UTZ certification reporting	Optional	Optional
75. B Corp certification reporting	Optional	Optional
76. ISO 26000 certification reporting	Optional	Optional
77. ISO 14001 certification reporting	Optional	Optional
78. ISO 9001 certification reporting	Optional	Optional
79. LEED certification reporting	Optional	Optional
80. WELL certification reporting	Optional	Optional
81. GreenStar certification reporting	Optional	Optional
82. Energy Star certification reporting	Optional	Optional
83. SmartWatermark certification reporting	Optional	Optional
84. GreenSource certification reporting	Optional	Optional
85. GreenScreen certification reporting	Optional	Optional
86. Cradle to Cradle certification reporting	Optional	Optional
87. EcoVadis certification reporting	Optional	Optional
88. Sustainalytics certification reporting	Optional	Optional
89. MSCI ESG Research certification reporting	Optional	Optional
90. ISS ESG certification reporting	Optional	Optional
91. Refinitiv ESG certification reporting	Optional	Optional
92. Bloomberg ESG certification reporting	Optional	Optional
93. Trucost certification reporting	Optional	Optional
94. Carbon Trust certification reporting	Optional	Optional
95. Science Based Targets initiative certification reporting	Optional	Optional
96. Net Zero commitment reporting	Optional	Optional
97. Climate-related disclosures reporting	Optional	Optional
98. TCFD recommendations reporting	Optional	Optional
99. IFRS Sustainability Standards reporting	Optional	Optional
100. SASB industry-specific standards reporting	Optional	Optional

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
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Fee Paid

101	710	201	355	Utility filing fee
106	320	206	160	Design filing fee
107	490	207	245	Plant filing fee
108	710	208	355	Reissue filing fee
114	150	214	75	Provisional filing fee

SUBTOTAL (1)	(\$)	710.00
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2. EXTRA CLAIM FEES

		Extra Claims		Fee from below	Fee Paid
Total Claims	50	-20** =	30	x 18 =	540
Independent Claims	4	-3** =	1	x 80 =	80
Multiple Dependent					

Large Entity		Small Entity	
Fee	Fee	Fee	Fee
Code	(\$)	Code	(\$)

103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 over original patent

SUBTOTAL (2)	(\$) 620.00
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*or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

	Large Entity	Small Entity
1. Revenue	\$10,000,000	\$5,000,000
2. Cost of Sales	(6,000,000)	(3,000,000)
3. Gross Profit	\$4,000,000	\$2,000,000
4. Operating Expenses	(2,000,000)	(1,000,000)
5. Operating Income	\$2,000,000	\$1,000,000
6. Non-Operating Income	(500,000)	(250,000)
7. Income Before Tax	\$1,500,000	\$750,000
8. Income Tax Expense	(300,000)	(150,000)
9. Net Income	\$1,200,000	\$600,000
10. EPS	\$1.20	\$0.60

Fee Code	Fee (\$)	Fee Code	Fee (\$)
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Fee Description

Fee Paid

105	130	205	65	Surcharge - late filing fee or oath
127	50	227	25	Surcharge - late provisional filing fee or cover sheet
139	130	139	130	Non-English specification
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination
112	920*	112	920*	Requesting publication of SIR prior to Examiner action
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action
115	110	215	55	Extension for reply within first month
116	390	216	195	Extension for reply within second month
117	890	217	445	Extension for reply within third month
118	1,390	218	695	Extension for reply within fourth month
128	1,890	228	945	Extension for reply within fifth month
119	310	219	155	Notice of Appeal
120	310	220	155	Filing a brief in support of an appeal
121	270	221	135	Request for oral hearing
138	1,510	138	1,510	Petition to institute a public use proceeding
140	110	240	55	Petition to revive - unavoidable
141	1,240	241	620	Petition to revive - unintentional
142	1,240	242	620	Utility issue fee (or reissue)
143	440	243	220	Design issue fee
144	600	244	300	Plant issue fee
122	130	122	130	Petitions to the Commissioner
123	50	123	50	Petitions related to provisional applications
126	240	126	240	Submission of Information Disclosure Stmt
581	40	581	40	Recording each patent assignment per property (times number of properties)
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))
179	710	279	355	Request for Continued Examination (RCE)
169	900	169	900	Request for expedited examination of a design application

Other fee (specify)

* Reduced by Basic Filing Fee Paid

SUBTOTAL (3)	(\$)	170.00
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SUBMITTED BY

Name (Print/Type)

~~Anthony C. Coles~~

Signature

Registration No.
(Attorney/Agent)

34.139

Complete (if applicable)

Telephone

212.969.3000

Date _____

7/18/01

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